

# **Schedule 150-1-1-5**

## **DEPARTMENT OF HEALTH AND HUMAN SERVICES SYSTEM**

### **BEHAVIORAL HEALTH SERVICES**

March 30, 2006

Nebraska Records Management Division  
440 South 8<sup>th</sup> Street, Suite 210  
Lincoln, NE 68508  
(402) 471-2559

**REQUEST FOR APPROVAL  
OF RECORDS RETENTION  
AND DISPOSITION SCHEDULE**

**TO: STATE RECORDS ADMINISTRATOR  
STATE OF NEBRASKA**

SCHEDULE

**150-1-1-5**

AGENCY, BOARD OR COMMISSION

**Health & Human Services System**

DIVISION, BUREAU OR OTHER UNIT

**Behavioral Health Services**

**PART I -- AGENCY STATEMENT**

In accordance with Section 84-1212.01, R.R.S. 1943, approval of the attached records retention and disposition schedule by the State Records Administrator is hereby requested. Retention periods and dispositions have been recommended by this agency after a careful evaluation of all factors listed in Section 84-1212.01, R.R.S. 1943.

SIGNATURE

TITLE

*Harvey Montague*  
*Director*

DATE

*3/6/06*

**PART II - ARCHIVAL APPROVAL**

The attached schedule has been analyzed, all archival and historical material has been properly identified, no disposition except by transfer to the State Archives has been recommended for such material, and this schedule is approved as submitted.

SIGNATURE

*Andrea I. Fain*

STATE ARCHIVIST

DATE

*Mar 29, 2006*

**PART III -- APPROVAL BY STATE RECORDS ADMINISTRATOR**

The attached schedule has been reviewed in accordance with Section 84-1212.01, R.R.S. 1943, and is approved as submitted.

SIGNATURE

*John D. Galt*

STATE RECORDS ADMINISTRATOR

DATE

*3/30/06*

RMA 01005D

## **INSTRUCTIONS FOR USING THIS SCHEDULE**

Records retention and disposition schedules are designed to serve as your records management guidelines for storing and disposing of agency records, ***regardless of the media on which they reside***, including paper, microfilm, diskettes, optical disks, CDs, DVDs, servers, computer hard drives, etc. This schedule was written specifically for records unique to your office and the State Agencies General Records Schedule #124 contains those records common to most state government agencies. These retention schedules, which are approved by the State Records Administrator, provide your only ongoing authority to dispose of records. Listed below are some basic procedures to follow when applying your schedule.

### **DISPOSING OF RECORDS**

1. Check your schedules to see what the retention period is. Note: Your agency's unique schedule will take precedence over State Agencies General Records Schedule #124 for any items which have differences in retention requirements.
2. Dispose of records that have met their retention periods.
3. Complete a Records Disposition Report for the records you dispose. The Records Disposition Report form is the last page of this schedule. Remove the form, photocopy it, complete the form, make a photocopy for your records, and send the completed form to the Records Management Division at the address below. If you wish, you may receive this form electronically by contacting the Records Management Division. This report establishes that the destruction was performed in your normal course of business.

**Please remember to retain the blank form for future use.**

### **NON-SCHEDULED RECORDS**

Contact a Records Management Consultant in Records Management to see whether the records will fit under an item already on the schedule. If they do not, they must be retained until they are added to the next revision of your schedule.

### **SCHEDULE UPDATE**

It is the responsibility of each agency to periodically update their schedule. A Records Management Consultant in Records Management can assist you with the schedule update, which involves adding new records and making revisions to existing items. Keeping your schedule current will ensure that you have the ongoing authority to discard records when their useful life has ended.

### **QUESTIONS**

If you have any questions about these procedures, please contact your agency Records Officer or your Records Management Consultant in Records Management. We will help you with any questions the schedule may present, including: transferring records to the State Records Center or State Archives, microfilming records, scanning records, etc.

**Records Management Division  
440 South 8th Street, Suite 210  
Lincoln, NE 68508-2294  
402-471-2559**

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## **SCHEDULE 150-1-1-5 – DEPARTMENT OF HEALTH AND HUMAN SERVICES SYSTEM – BEHAVIORAL HEALTH SERVICES**

### **150-1-1-5-1                    ADVISORY/ADVOCACY GROUP MINUTES**

Minutes from groups which are legislatively mandated (State Behavioral Health Advisory Council, State Mental Health Services Advisory Committee, State Substance Abuse Advisory Committee, State Compulsive Gambling and Addiction Services Advisory Committee) required by regulation or grant required (MHSIP); or external groups to advocate on behalf of patient or systems or internal policy development groups i.e. Network Managers, Behavioral Health System Team.

#### **MINUTES LEGISLATIVELY MANDATED OR REQUIRED BY REGULATION:**

**Microfilm and file with Legislative Research Library.**

**SECURITY MICROFILM: Transfer to the State Archives; retain permanently.**

**MICROFILM SECURITY COPY: Retain permanently.**

**ALL OTHER MINUTES: Dispose of 5 years after date of meeting.**

### **150-1-1-5-2                    AUDIO AND VIDEO TAPES**

Audio and Videotapes used to record meetings, to verify appropriateness of examinations or as presentations to groups.

**Dispose of 1 year after appeal time has lapsed, or when no longer of administrative value, whichever is later.**

### **150-1-1-5-3                    CLIENT INFORMATION SYSTEMS**

Computer data (N-FOCUS) which contain client tracking and or client identifying information used as a basis for development of treatment authorizations, or reports on the nature and extent of treatment services funded in whole or part by Division of Behavioral Health Services including Handgun Registration Data; Magellan Client Data; Compulsive Gamblers Client Information System; Mental Health, Substance Abuse Community Client Data Mental Health Client Information System; Substance Abuse Client Information System; Client Orientated Data Acquisition Program; Alcohol Client Data System, and Prevention Data Set.

**Retain permanently.**

**ELECTRONIC DATA: Backup monthly; dispose of after 7 years or when no longer of administrative value, whichever is later.**

**SECURITY BACKUP COPY: Dispose of after superseded.**

### **150-1-1-5-4                    CONTRACTS/GRANTS OR FUNDING AGREEMENTS – STATE AUTHORITY AS FUNDER**

Direct funding or service agreements between Division of Behavioral Health Services and service provider. Files may include, Regional Plans of Expenditures, quarterly reports, reports of management and operations, general correspondence, report on compliance visits, Audits, Turn Around Documents, Requests for Payments, contract (or funding agreement) and amendments and other associated information about the service provider or agreement.

**Dispose of after 5 years from last day of contract, provided audit has been completed.<sup>1</sup>T**

**150-1-1-5-5                    CONTRACTS/GRANTS OR FUNDING AGREEMENTS –  
STATE AUTHORITY AS RECIPIENT**

Applications, correspondence and actions relative to funding in which Division/Department is recipient from grants/contracts or other instruments of agreement by State Divisions.

**ORIGINAL RECORD:** Located in Central Repository Support Services.

**DUPLICATE COPY:** Dispose of 5 years after fulfillment of contract terms, provided audit has been completed.<sup>1</sup>

**150-1-1-5-6                    COUNSELOR CERTIFICATION**

Agency files on persons having or seeking Compulsive Gambling Certification, or the like.

**ELECTRONIC PRINTOUTS (DENIED):** Dispose of after 60 days if not appealed, if appealed retain 1 year following settlement, then dispose (shred).

**EXPIRED:** Retain permanent record information on Database.

**NON-ESSENTIAL DOCUMENTS:** Dispose of (shred) 5 years after expiration.

**RECIPROCITY:** Persons applying for reciprocity to another state based on Nebraska certification: Dispose of upon expiration of Nebraska certificate.

**ELECTRONIC DATA:** Backup daily; retain permanently.

**SECURITY BACKUP COPY:** Dispose of after superseded.

**150-1-1-5-7                    DATA COLLECTION FORMS**

Data collection instruments or data entry documents which may include information to be keyed into computer for client admissions, continued stay reviews, treatment provisions, terminations or consumer surveys.

**Dispose of after data entry and verification.**

**150-1-1-5-8                    OPERATIONS PLANS**

Plans and proposals or written documents upon which administrator has provided approval for the development of systems design to meet requirements of State, Federal or Division planning and reporting. Such document proposed a course of action developed from a recognized need.

**Transfer one copy to the Legislative Research Library.**

**ALL OTHER COPIES:** Dispose of after 2 years, or when no longer of administrative value, whichever is later.

**150-1-1-5-9                    POLICY AND PROCEDURE MANUALS**

Manual setting out operational policies and procedures for division, or other functional areas.

**Dispose of after 5 years, or when superseded, whichever is later, subject to review by the State Archives for possible accession.**

**150-1-1-5-10                  PROGRAM DATA**

Retained as needed to complete program performance and utilization reports for contract compliance monitoring. Annual operations plan containing objectives for division. Project information or statistics used to evaluate costs, expenditures, usefulness, client activities, etc.

**ISSUED REPORTS:** Transfer one copy to the Legislative Research Library.

**NON-ISSUED REPORTS:** Dispose of after 2 years, or when obsolete, whichever is later.

**ALL OTHER COPIES:** Dispose of after 2 years or when no longer of administrative value, whichever is later.

**150-1-1-5-11                    PROGRAM CORRESPONDENCE**

Records about programs and/or correspondence regarding outside information requests and program deliveries by division funded agencies.

**Dispose of after 2 years.**

**150-1-1-5-12                    PROGRAM FACILITY REVIEW/AUDITS OF SERVICES  
PURCHASED**

Final report of agency regulatory compliance visits performed by division staff or Regional Behavioral Health Authorities not otherwise covered in Regional Behavioral Health Authority contracts.

**Dispose of 5 years after date of last contact, or 5 years from expiration of certification, whichever is later.**

**150-1-1-5-13                    ADMINISTRATIVE CORRESPONDENCE**

Minutes of staff meetings or committees not required for standards compliance, regulation, grant compliance or accreditation. Speeches or legislative testimony prepared and presented by department staff.

**Dispose of after 2 years, or when no longer of administrative value, whichever is later.**

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**NOTE**

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1. *These records may be disposed of after the required retention period provided the audit of the Comprehensive Annual Financial Report (CAFR) is complete and any required federal audit is complete, and all related audit comments have been resolved. Check with the organization that performed the audit, either the Auditor of Public Accounts or the federal cognizant agency, if there is a question whether resolution is complete.*

## RECORDS DISPOSITION REPORT

<b>TO: SECRETARY OF STATE</b> <b>RECORDS MANAGEMENT DIVISION</b> <b>440 S. 8<sup>TH</sup> STREET SUITE 210</b> <b>LINCOLN, NE 68508-2294</b>	AGENCY
	DIVISION
	SUB-DIVISION

### REQUIRED INFORMATION:

In accordance with the Records Management Act, records of this agency have been disposed of under the authorization granted by the following schedule(s):

SCHEDULE NUMBER(S) ONLY (DO NOT INCLUDE SECTION AND ITEM NUMBERS)	TOTAL VOLUME DISPOSED (SEE REVERSE)

### OPTIONAL INFORMATION (FOR YOUR USE ONLY):

You may include detailed information which will be useful to you in recording exactly what records were disposed of and under what authority. This might include such things as schedule section and item numbers, title of records, inclusive dates of records, etc. This information is not required to be filed with Records Management.

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DATE	SIGNATURE
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**SEND ORIGINAL TO RECORDS MANAGEMENT. MAKE A PHOTOCOPY FOR YOUR RECORDS.**

RMA 03006D



## **VOLUME ESTIMATING GUIDE**

**(PLEASE NOTE THAT FOR REPORTING PURPOSES, A BALLPARK  
ESTIMATE OF THE TOTAL VOLUME OF MATERIAL DISPOSED IS  
ADEQUATE.)**

Vertical File Cabinet, 4 drawer letter-size .....	6 cubic feet
Vertical File Cabinet, 4 drawer legal-size.....	8 cubic feet
Lateral File, 4 drawer/shelf letter-size .....	9 cubic feet
Lateral File, 4 drawer/shelf legal-size.....	12 cubic feet
Records center carton.....	1 cubic foot
About a pickup load.....	50 cubic feet